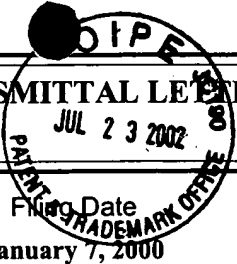


36288



<b>AMENDMENT TRANSMITTAL LETTER (Small Entity)</b>		Docket No. 12640US01	
Applicant(s): Robert Carey et al.			
Serial No. 09/480,724	Filing Date January 7, 2000	Examiner H. Dass	Group Art Unit 3628

Invention: **Method of Selecting Securities For A Portfolio**

**COPY OF PAPERS  
ORIGINALLY FILED**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is an amendment in the above-identified application.

☒ Small Entity status of this application has been established under 37 CFR 1.27 by a verified statement previously submitted.

☐ A verified statement to establish Small Entity status under 37 FR 1.27 is enclosed.

The fee has been calculated and is transmitted as shown below.

CLAIMS AS AMENDED					
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE
TOTAL CLAIMS	22 -	20 =	2 x	\$9.00	\$18.00
INDEP. CLAIMS	3 -	3 =	0 x	\$42.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT					\$18.00

- ☐ No additional fee is required for amendment.
- ☐ Please charge Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_  
A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$18.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 13-0017  
A duplicate copy of this sheet is enclosed.
  - ☒ Any additional filing fees required under 37 C.F.R. 1.16.
  - ☒ Any patent application processing fees under 37 CFR 1.17.

Ronald E. Larson  
Signature

Dated: July 18, 2002

cc:

I certify that this document and fee is being deposited on 7/18/02 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.	
<u>Ronald E. Larson</u> Signature of Person Mailing Correspondence	
Ronald E. Larson, Esq., Reg. No. 24,478 Typed or Printed Name of Person Mailing Correspondence	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Case No. 12640US01

10/a  
yon  
8-8-02  
PATENT

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING  
SECURITIES FOR A PORTFOLIO

Examiner: Harish T. Dass

Group Art Unit: 3628

Confirmation No.: 4660

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Asst. Commissioner for Patents, Washington, D.C. 20231, on July 18, 2002.

By: Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478

**AMENDMENT A**

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ORIGINALLY FILED**

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In response to the Office Action dated April 23, 2002, kindly amend the above-identified application as follows:

In The Claims:

Kindly cancel claims 1-19 and replace them with the following claims 20-41:

20. A method for selecting securities from a group of available securities for an investment portfolio comprising:

calculating one or more characteristics of price appreciation for each of said available securities;

calculating a return on assets ratio for each of said available securities;